

S/N 10/771,788

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Frederick M. Espiau et al.	Examiner:	David Hung Vu
Serial No.:	10/771,788	Group Art Unit:	2821
Filed:	February 04, 2004	Docket:	2447.001US2
Title:	PLASMA LAMP WITH DIELECTRIC WAVEGUIDE		

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

MS Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with 37 C.F.R. §§ 1.97 *et. seq.*, the enclosed materials are brought to the attention of the Examiner for consideration in connection with the above-identified patent application. Applicants respectfully request that this Supplemental Information Disclosure Statement be entered and the documents listed on the attached Form 1449 be considered by the Examiner and made of record. Pursuant to the provisions of MPEP 609, Applicants request that a copy of the 1449 form, initialed as being considered by the Examiner, be returned to the Applicants with the next official communication.

Pursuant to 37 C.F.R. §1.97(c)(2), Applicants have included the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p). Please charge any additional fees or credit any overpayment to Deposit Account No. 19-0743.

Patent Interference No. 105,393 was declared with respect to parent patent 6,737,809 and U.S. Application No. 09/818,092. A decision has been made on preliminary motions (cited in attached Form 1449) and the interference is in the priority phase. In order to facilitate review by the Examiner, a chart is attached hereto listing exhibits since the prior information disclosure statement was filed along with comments indicating whether each was previously cited, or is cited in the Form 1449 filed herewith. It should be noted that the titles in the chart correspond to the exhibit lists submitted in the interference and may thus differ from the detailed citations in the Form 1449 which comply with USPTO requirements. The citations on the Form 1449 filed herewith also list the exhibit numbers to facilitate review by the Examiner.

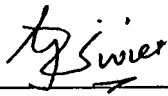
09/11/2007 TNGUYEN 00000050 10771788 180.00 OP
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The Examiner is invited to contact the Applicants' Representative at the below-listed telephone number if there are any questions regarding this communication.

Respectfully submitted,

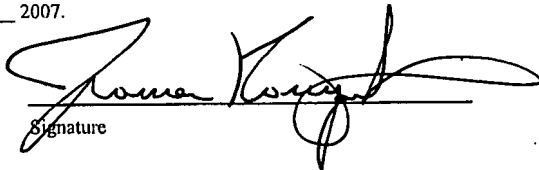
SCHWEGMAN, LUNDBERG & WOESSNER, P.A.
P.O. Box 2938
Minneapolis, MN 55402
408-278-4041

Date 08.31.2008

By 
Garth Vivier
Reg. No. 57,313

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Name


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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Frederick M. Espiau et al.

Title: PLASMA LAMP WITH DIELECTRIC WAVEGUIDE

Docket No.: 2447.001US2
Filed: February 4, 2004
Examiner: David Hung Vu

Serial No.: 10/771,788
Due Date: N/A
Group Art Unit: 2821

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Commissioner for Patents
P.O. Box 1450
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We are transmitting herewith the following attached items (as indicated with an "X"):

- ☒ Return postcard.
- ☒ Supplemental Information Disclosure Statement (2 pgs.), Form 1449 (6 pgs.), and copies of 79 cited documents.
- ☒ Check in the amount of \$180.00 to cover the fee for consideration of Information Disclosure Statement under 1.97(c).
- ☒ List of Motions, Oppositions and Replies (8 pgs.).

If not provided for in a separate paper filed herewith, Please consider this a PETITION FOR EXTENSION OF TIME for sufficient number of months to enter these papers and please charge any additional fees or credit overpayment to Deposit Account No. 19-0743.

SCHWEGMAN, LUNDBERG & WOESSNER, P.A.
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By: Garth Vivier
Atty: Garth Vivier
Reg. No. 57,313

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James Kanyusik
Name

James Kanyusik
Signature

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(GENERAL)

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)



Complete if Known

Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Vu, David

Sheet 1 of 6

Attorney Docket No: 2447.001US2

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		"Amended Assignment and Bill of Sale", <u>Guthrie Exhibit 2148, Board of Patent Appeals and Interferences (Interference No. 105,393), (January 12, 2007), 1 pg.</u>	
		"Chapter 6.3 - Rectangular Waveguide Cavities in: Microwave Engineering, Pozar, D. M., Editor (John Wiley & Sons, Inc.)", <u>Guthrie Exhibit 2143, Board of Patent Appeals and Interferences (Interference No. 105,393), 313-318</u>	
		"Collection of Correspondence", <u>Guthrie Exhibit 2163, Board of Patent Appeals and Interferences (Interference No. 105,393), (2000),23 pgs.</u>	
		"CoorsTek Engineering Drawings", <u>Guthrie Exhibit 2142, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 10, 200),6 pgs.</u>	
		CoorsTek Invoice No. 1016307, <u>Guthrie Exhibit 2140, Board of Patent Appeals and Interferences (Interference No. 105,393, (October 12, 2000), 1 pg.</u>	
		CoorsTek Invoice No. 1017845, <u>Guthrie Exhibit 2141, Board of Patent Appeals and Interferences (Interference No. 105,393, (October 18, 2001), 1 pg.</u>	
		"Decision - Motions - Bd. R. 125(a) (Paper 83)", <u>Guthrie, et al. v. Espiau, et al., Board of Patent Appeals and Interferences (Interference No. 105,393), (February 27, 2007),51 pgs.</u>	
		"Decision - On Rehearing - Bd. R. 125(c) (Paper 89)", <u>Guthrie, et al. v. Espiau, et al., Board of Patent Appeals and Interferences (Interference No. 105,393), (March 20, 2007),13 pgs.</u>	
		Decision - Rehearing - Bd. R. 127(d) (Paper 94)", <u>Guthrie, et al. v. Espiau, et al., Board of Patent Appeals and Interferences (Interference No. 105,393), (April 18, 2007),5 pgs.</u>	
		"Declaration of David Smoler", <u>Guthrie Exhibit 2136, Board of Patent Appeals and Interferences(Interference No. 105,393), (December 5, 2005), 17 pgs.</u>	
		"Declaration of Donald M. Wilson (Corrected)", <u>Espiau Exhibit 1106, Board of Patent Appeals and Interferences(Interference No. 105,393), (December 12, 2005),3 pgs.</u>	
		"Declaration of Tim R. Russell", <u>Guthrie Exhibit 2145, Board of Patent Appeals and Interferences (Interference No. 105,393), (February 1, 2006),3 pgs.</u>	
		"Draft of Charles Guthries' Expense Report", <u>Guthrie Exhibit 2192, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 10, 2000),2 pgs.</u>	
		"E-Mails between C. Guthrie and C. Lee", <u>Guthrie Exhibit 2167, Board of Patent Appeals and Interferences (Interference No. 105,393), (2000),6 pgs.</u>	
		"E-Mails Between T. Russell and T. Kearney", <u>Guthrie Exhibit 2187, Board of Patent Appeals and Interferences (Interference No. 105,393), (2006),7 pgs.</u>	
		"Engineering Sketches (faxed to Coorstek)", <u>Guthrie Exhibit 2137, Board of Patent Appeals and Interferences(Interference No. 105,393), (July 20, 2000), 2 pgs.</u>	
		"Espiau Declaration of Janet Brant", <u>Espiau Exhibit 1118, Board of Patent Appeals and Interferences(Interference No. 105,393), (May 25, 2007), 3 pgs.</u>	

EXAMINER

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Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional) ² Applicant is to place a check mark here if English language Translation is attached

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Examiner Name	Vu, David

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		"Espiau Declaration of Matthew A. Argenti", <u>Espiau Exhibit 1121, Board of Patent Appeals and Interferences(Interference No. 105,393), (May 28, 2007),3 pgs.</u>	
		"Espiau Declaration of Michael J. Murphy", <u>Espiau Exhibit 1120, Board of Patent Appeals and Interferences(Interference No. 105,393), (May 29, 2007),4 pgs.</u>	
		"Espiau Declaration of Terry Kearney", <u>Espiau Exhibit 1122, Board of Patent Appeals and Interferences(Interference No. 105,393), (May 28, 2007),6 pgs.</u>	
		"Espiau Declaration of W. Benjamin Glenn", <u>Espiau Exhibit 1119, Board of Patent Appeals and Interferences(Interference No. 105,393), (May 28, 2007),8 pgs.</u>	
		"Espiau Miscellaneous Motion 6 (Request for Rehearing of Espiau's Request for Leave to Prove Derivation by Guthrie)", <u>Guthrie, et al. v. Espiau, et al., Board of Patent Appeals and Interferences (Interference No. 105,393), (March 22, 2007),11 pgs.</u>	
		"Espiau Opposition 6", <u>Guthrie, et al. v. Espiau, et al. (Interference No. 105,393), (May 29, 2007),31 pgs.</u>	
		"Guthrie Declaration of Anthony Cooper", <u>Guthrie Exhibit 2184, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 14, 2007),6 pgs.</u>	
		"Guthrie Declaration of Dennis R. Nunes", <u>Guthrie Exhibit 2199, Board of Patent Appeals and Interferences (Interference No. 105,393), 3 pgs.</u>	
		"Guthrie Declaration of Floyd Pothoven", <u>Guthrie Exhibit 2183, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 15, 2007),5 pgs.</u>	
		"Guthrie Declaration of Joe Bennett", <u>Guthrie Exhibit 2186, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 14, 2007),5 pgs.</u>	
		"Guthrie Declaration of Shelby Katz", <u>Guthrie Exhibit 2144, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 24, 2007),3 pgs.</u>	
		"Guthrie Declaration of Vivek Gandhi", <u>Guthrie Exhibit 2164, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 18, 2007),3 pgs.</u>	
		"Guthrie Fifth Declaration of Madhu S. Gupta, Ph.D.", <u>Guthrie Exhibit 2182, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 14, 2007),23 pgs.</u>	
		"Guthrie Miscellaneous Motion 6 (To Compel Testimony of Tim Russell)", <u>Guthrie, et al. v. Espiau, et al., Board of Patent Appeals and Interferences (Interference No. 105,393), (May 23, 2006),23 pgs.</u>	
		"Guthrie Miscellaneous Motion 6 (Request for Rehearing)", <u>Guthrie, et al. v. Espiau, et al., Board of Patent Appeals and Interferences (Interference No. 105,393), (March 13, 2007), 11 pgs.</u>	
		"Guthrie Opposition 6 (Opposing Espiau Motion 6 to Request Rehearing)", <u>Guthrie, et al. v. Espiau, et al., Board of Patent Appeals and Interferences (Interference No. 105,393), (April 3, 2007), 12 pgs.</u>	

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Group Art Unit	2821
Examiner Name	Vu, David

Sheet 3 of 6

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		"Guthrie Priority Motion 7", <u>Guthrie, et al. v. Espiau, et al., Board of Patent Appeals and Interferences (Interference No. 105,393), (June 15, 2007), 81 pgs.</u>	
		"Guthrie Second Declaration of Charles Guthrie", <u>Guthrie Exhibit 2180, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 14, 2007), 12 pgs.</u>	
		"Guthrie Second Declaration of David E. Smoler", <u>Guthrie Exhibit 2150, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 21, 2007), 8 pgs.</u>	
		"Guthrie Third Declaration of Donald Wilson", <u>Guthrie Exhibit 2181, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 13, 2007), 22 pgs.</u>	
		"Guthrie Third Declaration of Greg Prior", <u>Guthrie Exhibit 2185, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 15, 2007), 11 pgs.</u>	
		"Guthrie Third Declaration of Nicola Pisano", <u>Guthrie Exhibit 2189, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 23, 2007), 8 pgs.</u>	
		"Manufacturing Order Documentation Form", <u>Guthrie Exhibit 2139, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 8, 2000), 3 pgs.</u>	
		"Manufacturing Quote from Coorstek", <u>Guthrie Exhibit 2138, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 27, 2000), 2 pgs.</u>	
		"Petition to Correct Inventorship in U.S. Patent Application Ser. No. 09/818,092, filed March 26, 2001", <u>Guthrie Exhibit 2166, Board of Patent Appeals and Interferences (Interference No. 105,393), (December 22, 2004), 21 pgs.</u>	
		"Photograph of Lighted Half-Wavelength", <u>Guthrie Exhibit 2178, Board of Patent Appeals and Interferences (Interference No. 105,393), (2002), 2 pgs.</u>	
		"Photographs of CoorsTek Full Wavelength Ceramic Waveguide", <u>Guthrie Exhibit 2162, Board of Patent Appeals and Interferences (Interference No. 105,393), 1 pg.</u>	
		"Smoler Voicemail Transcript", <u>Espiau Exhibit 1109, Board of Patent Appeals and Interferences (Interference No. 105,393), (November 21, 2005), 1 pg.</u>	
		"Transcript of Deposition of Tim Russell", <u>Exhibit 2198, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 6, 2007), 79 pgs.</u>	
		"Wilson Handwritten Notes", <u>Espiau Exhibit 1107, Board of Patent Appeals and Interferences (Interference No. 105,393), (November 7, 2005), 2 pgs.</u>	
		"Wilson Handwritten Notes", <u>Espiau Exhibit 1108, Board of Patent Appeals and Interferences (Interference No. 105,393), (November 15, 2005), 11 pgs.</u>	
		"Wilson Technical Consulting Agreement", <u>Espiau Exhibit 1105, Board of Patent Appeals and Interferences (Interference No. 105,393), (October 17, 2005), 2 pgs.</u>	

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		BENNETT, J. , "E-Mail to C. Guthrie Re: Kyocera Quote for Waveguide Samples", Guthrie Exhibit 2176, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 10, 2000), 1 pg.	
		BRANT, J. , "E-Mail to Tony McGettigan", Espiau Exhibit 1104, Board of Patent Appeals and Interferences (Interference No. 105,393), (October 20, 2005), 1 pg.	
		GUTHRIE, C. , "Collection of Waveguide Drawings", Guthrie Exhibit 2169, Board of Patent Appeals and Interferences (Interference No. 105,393), (2000), 7 pgs.	
		GUTHRIE, C. , "D.R.I. Drawing - Ceramic Substrate (SMPL004)", Guthrie Exhibit 2171, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 19, 2000), 1 pg.	
		GUTHRIE, C. , "D.R.I. Drawing - Dielectric Test Sample", Guthrie Exhibit 2154, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 26, 2000), 1 pg.	
		GUTHRIE, C. , "D.R.I. Drawing - High Bright Picture Element (WGC006)", Guthrie Exhibit 2170, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 14, 2000), 1 pg.	
		GUTHRIE, C. , "D.R.I. Drawing - Wave Guide Lamp Concept 3d (WGC003)", Guthrie Exhibit 2175, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 3, 2000), 1 pg.	
		GUTHRIE, C. , "D.R.I. Drawings - R. F. Connector Details (Versions 1 and 2)", Guthrie Exhibit 2174, Board of Patent Appeals and Interferences (Interference No. 105,393), (2000), 2 pgs.	
		GUTHRIE, C. , "D.R.I. Drawings - Wave Guide Lamp Concept 5 (WGC005); Wave Guide Lamp Concept 6 (WGC 006); and Wave Guide Concept 7 (WGC 007)", Guthrie Exhibit 2172, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 27, 2000), 3 pgs.	
		GUTHRIE, C. , "D.R.I. Drawings - Wave Guide Lamp Concept 8 (WGC008); Wave Guide Lamp Concept 9 (WGC009); and Wave Guide Lamp Concept 10 (WGC010)", Guthrie Exhibit 2173, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 28, 2000), 3 pgs.	
		GUTHRIE, C. , "E-Mail to E. Sandberg, et al. re: Meeting at ITW", Guthrie Exhibit 2179, Board of Patent Appeals and Interferences (Interference No. 105,393), (March 23, 2000), 2 pgs.	
		JOSHI, C. , "E-Mail to C. Guthrie", Guthrie Exhibit 2177, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 13, 2000), 1 pg.	
		RUSSELL, T. , "E-Mail to N. Pisano (Guthrie's Counsel) Re: DRI Patent Application", Guthrie Exhibit 2188, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 19, 2007), 2 pgs.	

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		SMOLER, D., "E-Mail to C. Guthrie re: Ridged Waveguide Ideas", <u>Guthrie Exhibit 2149, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 27, 2000), 2 pgs.</u>	
		TURNER, D., "E-Mail to C. Guthrie re: Dielectric Constants from Trans Tech", <u>Guthrie Exhibit 2168, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 7, 2000), 1 pg.</u>	
		TURNER, D., "E-Mail to D. Wilson and C. Guthrie (attaching Lamp Plasma Schedule)", <u>Guthrie Exhibit 2197, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 28, 2000), 3 pgs.</u>	
		TURNER, D., "E-Mail to D. Wilson and C. Guthrie re: Wavelength Project List (attaching Updated Contact List)", <u>Guthrie Exhibit 2159, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 6, 2000), 3 pgs.</u>	
		TURNER, D., et al., "E-Mail to D. Wilson, et al. Re: DRI Plasma Lamp - Updated Address List", <u>Guthrie Exhibit 2152, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 24, 2000), 3 pgs.</u>	
		TURNER, D., "E-Mail to G. Prior Re: DRI Tasks", <u>Guthrie Exhibit 2165, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 10, 2000), 2 pgs.</u>	
		TURNER, D., "E-Mail to G. Prior, et al. Re: Action Item List", <u>Guthrie Exhibit 2157, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 28, 2000), 2 pgs.</u>	
		TURNER, D., "E-Mail to G. Prior, et al. Re: DRI Plasma Lamp Schedule Update", <u>Guthrie Exhibit 2156, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 28, 2000), 4 pgs.</u>	
		TURNER, D., "E-Mail to G. Prior, et al. Re: Proposal to Develop Plasma Lamp Exciter and Waveguide", <u>Guthrie Exhibit 2151, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 16, 2000), 8 pgs.</u>	
		TURNER, D., "E-Mail to G. Prior, et al. Re: DRI Plasma Lamp - Laser Bonding", <u>Guthrie Exhibit 2153, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 26, 2000), 2 pgs.</u>	
		TURNER, D., et al., "E-Mail to J. Chan, et al. Re: Waveguide Meeting", <u>Guthrie Exhibit 2195, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 2, 2000), 1 pg.</u>	
		TURNER, D., "E-Mail to W. Catlett", <u>Guthrie Exhibit 2160, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 17, 2000), 2 pgs.</u>	
		TURNER, D., et al., "E-Mail to W. Catlett Re: Lamp Project Budget", <u>Guthrie Exhibit 2194, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 1, 2000), 4 pgs.</u>	
		TURNER, D., "E-Mail to W. Catlett Re: Office/Lab and Deposit Account for Lamp Project", <u>Guthrie Exhibit 2193, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 31, 2000), 2 pgs.</u>	

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		TURNER, D., "E-Mail to W. Catlett re: Luxim Waveguide Status Update", <u>Guthrie Exhibit 2158, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 6, 2000), 3 pgs.</u>	
		TURNER, D., "E-Mail to W. Catlett re: Waveguide Lamp Status Report", <u>Guthrie Exhibit 2161, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 1, 2000), 2 pgs.</u>	
		TURNER, D., "E-Mail to W. Catlett, et al. Re: Luxim Waveguide Status and Meeting", <u>Guthrie Exhibit 2196, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 26, 2000), 2 pgs.</u>	

EXAMINER**DATE CONSIDERED**

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached